

JG07 Rec'd PCT/PTO 2-8 DEC 2001

<b>BAKER BOTTS LLP</b> TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35.U.S.C. 371		EXPRESS MAIL LABEL No. ET 544 763 265 US	DATE December 28, 2001
		ATTORNEY'S DOCKET NO. 34894-PCT-USA (072745.0128)	
		U.S. APPLICATION NO. To be assigned <b>10/019613</b>	
INTERNATIONAL APPLICATION NO. PCT/GB00/02551	INTERNATIONAL FILING DATE 3 July 2000	PRIORITY DATE CLAIMED 2 July 1999	
TITLE OF INVENTION USE OF CORTISOL ANTAGONISTS IN THE TREATMENT FOR HEART FAILURE			
APPLICANT(S) FOR DO/EO/US Cortendo AB			
<p>Applicant herewith submits to the United States Designated /Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).</li> <li><input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.</li> <li><input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> has been transmitted by the International Bureau.</li> <li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li><input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li><input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210)             <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> have been transmitted by the International Bureau</li> <li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li><input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li><input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p>Items 11. to 16. below concern other document(s) or information included:</p> <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409)</li> <li><input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li><input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li><input type="checkbox"/> Other items or information:             <ol style="list-style-type: none"> <li><input type="checkbox"/> a copy of the International Search Report (PCT/ISA/210)</li> <li><input type="checkbox"/> a copy of the International Preliminary Examination Report (PCT/IPEA/409)</li> <li>PCT Application No. PCT/GB00/0255 was published in English under Publication No. WO 01/01871 A1 on 11 January, 2001.</li> <li>Information Disclosure Statement</li> <li>PTO Form 1449</li> <li>Copies of References Listed in Information Disclosure Statement and Form 1449</li> <li>Check for \$860.00</li> <li>Return receipt postcard</li> </ol> </li> </ol>			

INTERNATIONAL APPLICATION NO. PCT/GB00/02551		INTERNATIONAL FILING DATE 3 July 2000		PRIORITY DATE CLAIMED 2 July 1999	
17. [ ] The following fees are submitted:  <b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b>  Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO (1.492(a)(3)) \$1,000.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO (1.492(a)(5)) \$860.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO (1.492(a)(2)) \$710.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) (1.492(a)(1)) \$690.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00  <b>ENTER APPROPRIATE BASIC FEE AMOUNT</b> = \$ 860				CALCULATIONS <small>PTO USE ONLY</small>	
Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).				\$	
Claims	Number Filed	Number Extra	Rate	\$	
Total Claims	9 -20=	0	X \$ 18.00	\$ 0	
Independent Claims	3 -3=	0	X \$ 80.00	\$ 0	
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$	
<b>TOTAL OF ABOVE CALCULATIONS</b>				= \$ 860	
Reduction by 1/2 for filing by small entity, if applicable.				\$	
<b>SUBTOTAL</b>				= \$ 860	
Processing fee of \$130.00 for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE</b>				= \$ 860	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
+					
<b>TOTAL FEES ENCLOSED</b>				= \$ 860	
				<b>Amt. refunded</b>	\$
				<b>charged</b>	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$ 860.00 to cover the above fees is enclosed. b. [ ] Please charge our Deposit Account No. 02-4377 in amount of \$ to cover the above fees. A copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 02-4377. A copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: Rochelle K. Seide, Ph.D. BAKER BOTTS L.L.P. 30 Rockefeller Plaza New York, New York 10112-4498					
			Attorney: Rochelle K. Seide, Ph.D.		
			PTO Reg: 32,300		
			December 28, 2001		
			Date		

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**BAKER BOTTS** LLP

Attorney Docket Number: 34894-PCT-USA (072745.0128)

Title: USE OF CORTISOL ANTAGONISTS IN THE TREATMENT FOR HEART FAILURE

Use Space Below for Additional Information:

BAKER BOTTS LLP

10/019613  
531 Rec'd PCT/ 28 DEC 2001**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 860

Compleat if Kn wn

Application Number	Not Yet Assigned
Filing Date	Not Yet Assigned
First Named Inventor	Cortendo AB
Examiner Name	Not Yet Assigned
Group Art Unit	Not Yet Assigned
Attorney Docket No.	34894PCTUSA; 072745.0128

**METHOD OF PAYMENT**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

02-4377

Deposit  
Account  
Name

Baker Botts LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee (\$)	Fee (\$)	Fee Description	Fee Paid
740	370	Utility filing fee	
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

SUBTOTAL (1) (\$ 0

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
20	0	0	0
3	0	0	0
Multiple Dependent			

Large Entity Small Entity

Fee (\$)	Fee (\$)	Fee Description
18	9	Claims in excess of 20
84	42	Independent claims in excess of 3
280	140	Multiple dependent claim, if not paid
84	42	** Reissue independent claims over original patent
18	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0

\*\*for number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for <i>ex parte</i> reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1,440	720	Extension for reply within fourth month	
1,960	980	Extension for reply within fifth month	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,280	640	Petition to revive - unintentional	
1,280	640	Utility issue fee (or reissue)	
460	230	Design issue fee	
620	310	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
740	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
740	370	For each additional invention to be examined (37 CFR § 1.129(b))	
740	370	Request for Continued Examination (RCE)	
900	900	Request for expedited examination of a design application	
		Other fee (specify) <u>Basic National Fee</u>	860

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 860

**SUBMITTED BY**

Name (Print/Type)

Rochelle K. Seide, Ph.D.

Registration No.  
(Attorney/Agent)

32,300

Complete (if applicable)

Telephone

212-408-2500

Signature

Rochelle K. Seide

Date

12-28-01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.